

2644/1F609-US4

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)

INTERNATIONAL APPLICATION NO.

PCT/US00/20394

INTERNATIONAL FILING DATE

24  
28 July 2000

PRIORITY DATE CLAIMED

23 July 1999

TITLE OF INVENTION

## SYSTEM AND METHOD FOR MANAGING SWAP ORDERS

APPLICANT(S) FOR DO/EO/US

Joseph BORKOWSKI

Applicant herewith submits to the United States Designated/Elected office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S. C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371 (f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S. C. 371 (b) and PCT Articles 22 and 39 (1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S. C. 371 (c) (2) )
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ A translation of the International Application into English (35 U.S. C. 371 (c)2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c) (3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4))
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98 (with references).
12. ☐ An assignment document for recording. A **separate** cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney an/or address letter.
16. ☐ Other items or information:

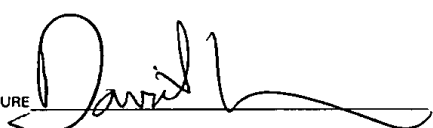
## EXPRESS MAIL CERTIFICATE

2/8/02 42767723512 US

I hereby certify that, on the date indicated above, this paper or fee was deposited with the U.S. Postal Service & that it was addressed for delivery to the Assistant Commissioner for Patents, Washington, DC 20231 by "Express Mail Post Office to Addressee" service.

Name (Print)

Signature

U.S. APPLICATION NO. (if known) sec 37 C.F.R.1.50)		INTERNATIONAL APPLICATION NO.: PCT/US00/20394		Attorney's Docket Number 2644/1F609-US4	
17. [x] The following fees are submitted:  <b>Basic National Fee (37 CFR 1.492 (a)(1)-(5)):</b> Search Report has been prepared by the EPO ( ) or JPO ( ) <span style="float:right">\$890.00</span>  International preliminary examination fee paid to USPTO (37 CFR 1.482) ..... <span style="float:right">\$710.00</span>  No international preliminary examination fee paid to USPTO(37 CFR 4.482) but international search fee paid to USPTO (37 CFR 1.445 (a) (2))... <span style="float:right">\$740.00</span>  Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO..... <span style="float:right">\$1,040.00</span>  International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4).... <span style="float:right">\$100.00</span>  <div style="text-align: right;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></div>				CALCULATIONS	PTO USE ONLY
Surcharge of \$130.00 for furnishing the oath or declaration later than ( )20 ( )30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$130.00	
Claims	Number Filed	Number Extra	Rate		
Total Claims	-20		X \$18.00	\$	
Independent Claims	-3		X \$84.00	\$	
Multiple dependent claims(s) (if applicable)			+ 280	\$	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$	
Reduction by 1/2 for filing by small entity, if applicable.				\$65.00	
<b>SUBTOTAL =</b>				\$65.00	
Processing fee of \$130.00 for furnishing the English translation later the ( ) 20 ( ) 39 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
<b>TOTAL NATIONAL FEE =</b>				\$	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). the assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$	
<b>TOTAL FEES ENCLOSED =</b>				\$65.00	
				Amount to be: refunded	\$
				charged:	\$
<p>a. [X] A check in the amount of \$65:00 to cover the above fees is enclosed.</p> <p>b. ( ) Please charge my Deposit Account No.04-0100 in the amount of \$ to cover the above fees.</p> <p>c. [X] The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 04-0100. A duplicate copy of this sheet is enclosed.</p> <p><b>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b></p> <p>SEND ALL CORRESPONDENCE TO:  David Leason  Darby &amp; Darby P.C.  805 Third Avenue  New York, New York 10022-7513</p> <p style="text-align: center;">02/15/2002 MNGUYEN 00000066 10031996  01 FC:254 <span style="float:right">65.00 OP</span></p> <div style="text-align: right; margin-top: 20px;"> SIGNATURE   NAME David Leason  REGISTRATION NO. 36,195 </div>					